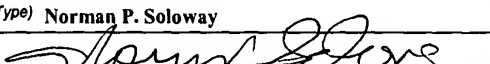


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|   |  |  |  |  |  |
|---|--|--|--|--|--|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>   |  | Attorney Docket No.  |  | BREV 13186 DIV   |  |
|   |  | First Inventor   |  | ANDRE  |  |
|   |  | Title  |  | Thin Layer of Hafnium Oxide and Deposit Process  |  |
|   |  | Express Mail Label   |  | EU235897748US  |  |
| <b>APPLICATION ELEMENTS</b><br><small>See MPEP chapter 600 concerning utility patent application contents.</small>  |  |  |  | <b>ADDRESS TO:</b><br>Commissioner for Patents<br>Mail Stop Patent Application<br>P. O. Box 1450<br>Alexandria VA 22313-1450 |  |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><small>(Submit an original, and a duplicate for fee processing)</small>  |  | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)  |  |  |  |
| 2. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.   |  | 8. Nucleotide and/or Amino Acid Sequence Submission<br><small>(if applicable, all necessary)</small>   |  |  |  |
| 3. <input checked="" type="checkbox"/> Specification <small>[Total Pages 23]</small><br><small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the invention</li><li>- Brief Summary of the invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> |  | a. <input type="checkbox"/> Computer Readable Form (CRF)   |  |  |  |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <small>[Total Sheets 3]</small>   |  | b. Specification Sequence Listing on: <ul style="list-style-type: none"><li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li><li>ii. <input type="checkbox"/> Paper</li></ul> |  |  |  |
| 5. Oath or Declaration <small>[Total Pages]</small> <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Newly executed (original or copy)</li><li>b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br/><small>(for continuation/divisional with Box 18 completed)</small></li><li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br/><small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small></li></ul>  |  | c. <input type="checkbox"/> Statements verifying identity of above copies  |  |  |  |
| 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76   |  | <b>ACCOMPANYING APPLICATION PARTS</b>  |  |  |  |
| 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:<br><input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: <u>09/830,380</u><br><small>Prior application information: Examiner <u>Dicus, Tamra</u> Group / Art Unit: <u>1774</u></small>   |  | 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))  |  |  |  |
| <small>For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.</small>   |  | 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney<br><small>(when there is an assignee)</small>   |  |  |  |
| <b>19. CORRESPONDENCE ADDRESS</b>   |  | 11. <input type="checkbox"/> English Translation Document (if applicable)  |  |  |  |
| <input type="checkbox"/> Customer Number or Bar Code Label<br><small>(Insert Customer No. or Attach bar code label here)</small>  |  | 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations   |  |  |  |
| Name <u>Norman P. Soloway</u>   |  | 13. <input checked="" type="checkbox"/> Preliminary Amendment  |  |  |  |
| Address <u>HAYES SOLOWAY P.C.</u>   |  | 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><small>(Should be specifically itemized)</small>   |  |  |  |
| City <u>Tucson</u> State <u>Arizona</u> Zip Code <u>85701</u>   |  | 15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br><small>(if foreign priority is claimed)</small>   |  |  |  |
| Country <u>USA</u> Telephone <u>(520) 882-7623</u> Fax <u>(520) 882-7643</u>  |  | 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.  |  |  |  |
| City <u>Tucson</u> State <u>Arizona</u> Zip Code <u>85701</u>   |  | 17. <input checked="" type="checkbox"/> Other: <u>Change of Attorney Address in Application</u>  |  |  |  |

|   |  |   |  |
|---|--|---|--|
| Name (Print/Type) <u>Norman P. Soloway</u>  |  | Registration No. (Attorney/Agent) <u>24,315</u> |  |
| Signature  |  | Date <u>June 27, 2003</u>                       |  |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

16076 U.S. PTO  
06/27/03

PTO/SB/17 (5-03)  
Approved for use through 04/30/2003. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) \$750.00

## Complete if Known

Application Number  
Filing Date June 27, 2003  
First Named Inventor ANDRE  
Examiner Name Dicus, Tamra  
Group Art Unit 1774  
Attorney Docket No. BREV 13186 DIV

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☒ Other ☐ None

☒ Deposit Account: FORM PTO-2038

Deposit Account Number 08-1391

Deposit Account Name

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 1001         | 750      | 2001         | 375      | Utility filing fee     | 750.00   |
| 1002         | 330      | 2002         | 165      | Design filing          |          |
| 1003         | 520      | 2003         | 260      | Plant filing fee       |          |
| 1004         | 750      | 2004         | 375      | Reissue filing         |          |
| 1005         | 160      | 2005         | 80       | Provisional filing fee |          |
| SUBTOTAL (1) |          |              |          |                        | (\$)     |

### 2. EXTRA CLAIM FEES FOR UTILITY AND

| Extra Claims       |             | Fee from below | Fee Paid |
|--------------------|-------------|----------------|----------|
| Total Claims       | Fee         |                |          |
| 15                 | -20** = 0   | X              | 0.00     |
| Independent Claims | 1 - 3** = 0 | X              | 0.00     |
| Multiple Dependent |             |                |          |

| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |          |
| 1201         | 84       | 2201         | 42       | Independent claims in excess of 3                          |          |
| 1203         | 280      | 2203         | 140      | Multiple dependent claim, if not paid                      |          |
| 1204         | 84       | 2204         | 42       | ** Reissue independent claims over original patent         |          |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |          |
| SUBTOTAL (2) |          |              |          |  | (\$)     |

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity        |          | Small Entity |          | Fee Description  | Fee Paid |
|---------------------|----------|--------------|----------|--|----------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1051                | 130      | 2051         | 65       | Surcharge - late filing fee or oath  |          |
| 1052                | 50       | 2052         | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053                | 130      | 1053         | 130      | Non - English specification  |          |
| 1812                | 2,520    | 1812         | 2,520    | For filing a request for ex parte reexamination                            |          |
| 1804                | 920*     | 1804         | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805                | 1,840*   | 1805         | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251                | 110      | 2251         | 55       | Extension for reply within first month                                     |          |
| 1252                | 410      | 2252         | 205      | Extension for reply within second month                                    |          |
| 1253                | 930      | 2253         | 465      | Extension for reply within third month                                     |          |
| 1254                | 1,450    | 2254         | 725      | Extension for reply within fourth month                                    |          |
| 1255                | 1,970    | 2255         | 985      | Extension for reply within fifth month                                     |          |
| 1401                | 320      | 2401         | 160      | Notice of Appeal   |          |
| 1402                | 320      | 2402         | 160      | Filing a brief in support of an appeal                                     |          |
| 1403                | 280      | 2403         | 140      | Request for oral hearing   |          |
| 1451                | 1,510    | 1451         | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452                | 110      | 2452         | 55       | Petition to revive - unavoidable   |          |
| 1453                | 1,300    | 2453         | 650      | Petition to revive - unintentional   |          |
| 1501                | 1,300    | 2501         | 650      | Utility issue fee (or reissue)   |          |
| 1502                | 470      | 2502         | 235      | Design issue fee   |          |
| 1503                | 630      | 2503         | 315      | Plant issue fee  |          |
| 1460                | 130      | 1460         | 130      | Petitions to the Commissioner  |          |
| 1807                | 50       | 1807         | 50       | Processing fee under 37 CFR § 1.17(q)                                      |          |
| 1806                | 180      | 1806         | 180      | Submission of Information Disclosure Statement                             |          |
| 8021                | 40       | 8021         | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809                | 750      | 2809         | 375      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 1810                | 750      | 2810         | 375      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 1801                | 750      | 2801         | 375      | Request for Continued Examination (RCE)                                    |          |
| 1802                | 900      | 1802         | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) |          |              |          |  |          |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type) Norman P. Soloway

Registration No. (Attorney/Agent)

24,315

## Complete (if applicable)

Telephone

(520) 882-7623

Signature

*Norman P. Soloway*

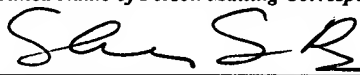
Date

June 27, 2003

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If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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|--|--|--|--|
| <b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b><br>Applicant(s): <b>ANDRE ET AL.</b>   |  |  | <b>Docket No.</b><br><b>BREV 13186 DIV</b> |
| <b>Serial No.</b>  | <b>Filing Date</b><br><b>June 27, 2003</b> | <b>Examiner</b><br><b>Dicus, Tamra</b> | <b>Group Art Unit</b><br><b>1774</b>       |
| <b>Invention: THIN LAYER OF HAFNIUM OXIDE AND DEPOSIT PROCESS</b>  |  |  |  |
| <p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; min-height: 60px;"><b>Divisional Patent Application</b></div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on</p> <p style="text-align: center;"><u>June 27, 2003</u><br/><i>(Date)</i></p> <div style="text-align: center; margin-top: 20px;"><u>Shauna Bronson</u><br/><i>(Typed or Printed Name of Person Mailing Correspondence)</i><br/><br/><i>(Signature of Person Mailing Correspondence)</i></div> <div style="text-align: center; margin-top: 20px;"><u>EU235897748US</u><br/><i>("Express Mail" Mailing Label Number)</i></div> |  |  |  |
| <p><b>Note: Each paper must have its own certificate of mailing.</b></p>   |  |  |  |